

In re Application of Paul K. Hansma, Tilman E. Schaffer and Jason P. Cleveland
Serial Number _____ Filed 9-5-96
For ATOMIC FORCE MICROSCOPE FOR GENERATING A SMALL INCIDENT BEAM SPOT
Robbins, Berliner & Carson Docket No. 1279-225XX

08/709349



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS [37 CFR 1.9(f) AND 1.27(d)] - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization
identified below:

NAME OF ORGANIZATION THE REGENTS OF THE UNIVERSITY OF CALIFORNIA
ADDRESS 300 LAKESIDE DRIVE, 22ND FLOOR, OAKLAND, CA 94612-3550

Type of organization:

- ☒ University or other institution of higher education
☒ Tax exempt under Internal Revenue Service Code 26 USC 501(a) and 501(c)(3)
☐ Nonprofit scientific or educational under statute of the United States of America
Name of State _____ Citation of Statute _____
☐ Would qualify as tax exempt under Internal Revenue Service Code 26 USC 501(a) and
501(c)(3) if located in the United States of America
☐ Would qualify as nonprofit scientific or educational under statute of the United States of
America if located in the United States of America
Name of State _____ Citation of Statute _____

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization
as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under § 41(a) and (b) of Title 35,
United States Code, with regard to the invention entitled ATOMIC FORCE MICROSCOPE FOR
GENERATING A SMALL INCIDENT BEAM SPOT by inventors Paul K. Hansma, Tilman E.
Schaffer and Jason P. Cleveland described in

- ☒ the specification filed herewith
☐ application Serial No. _____, filed _____
☐ Patent No. _____, issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the
nonprofit organization with regard to the above-identified invention.

If the rights held by the above-identified small business concern are not exclusive, each individual,
concern or organization having rights to the invention is listed below and no rights to the invention are
held by any person, other than the inventor, who could not qualify as a small business concern under
37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR
1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

NAME N/A
ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT
☐ CONTINUED ON APPENDIX A ATTACHED HERETO

I acknowledge the duty to file, in this application or patent, notification of any change in status
resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the
earliest of the issue fee or any maintenance fees due after the date on which status as a small entity is
no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements
made on information and belief are believed to be true; and further that these statements were made
with the knowledge that willful false statements and the like so made are punishable by fine or
imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful
false statements may jeopardize the validity of the application, any patent issued thereon, or any
patent to which this verified statement is directed.

NAME OF PERSON SIGNING Linda S. Stevenson
TITLE OF PERSON SIGNING Principal Prosecution Analyst, Office of Technology Transfer
ADDRESS OF PERSON SIGNING 300 Lakeside Dr., 22nd Floor, Oakland, CA 94612-3550

DATED Sept 5, 1996 Linda S. Stevenson
(signature)

DECLARATION AND PETITION

As the below named inventors, we hereby declare that:

Our residences, post office addresses and citizenships are as stated below next to our names.

We believe that we are an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **ATOMIC FORCE MICROSCOPE FOR GENERATING A SMALL INCIDENT BEAM SPOT**, the specification of which is attached hereto.

We hereby state that we have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

We acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

We hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:
NONE

We hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, we acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:
NONE

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true;

and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Wherefore we pray that Letters Patent be granted to us for the invention or discovery described and claimed in the foregoing specification and claims, and we hereby subscribe our names to the foregoing specification and claims, declaration and petition.

1 - 0 0
Full name of sole or first inventor: Paul K. Hansma

Inventor's signature: Paul Hansma

Date: Sept 4, 96

Residence: 6891 Trigo Road, Goleta, CA 93117

Citizenship: United States of America

Post Office Address: same

2 - 0 0
Full name of second joint inventor, if any: Tilman E. Schaffer

Second Inventor's signature: Tilman E. Schaffer

T.S.
Date: Sept. 4, 1996

Residence: 351 Evonshire Avenue, Santa Barbara, CA 93111

Citizenship: German

Post Office Address: same

3 - 0 0
Full name of third joint inventor, if any: Jason P. Cleveland

Second Inventor's signature: Jason P. Cleveland

Date: SEPT. 4, 1996

Residence: 2524 Pierpont Blvd., Ventura, CA 93001

Citizenship: United States of America

Post Office Address: same

POWER OF ATTORNEY BY ASSIGNEE
AND EXCLUSION OF INVENTOR UNDER RULE 32

Commissioner of Patents
and Trademarks
Washington, D. C. 20231

Sir:

I, Linda S. Stevenson, Principal Prosecution Analyst, Office of Technology Transfer of THE REGENTS OF THE UNIVERSITY OF CALIFORNIA, a corporation of the State of California and assignee of the entire right, title and interest in the application for United States Letters Patent entitled ATOMIC FORCE MICROSCOPE FOR GENERATING A SMALL INCIDENT BEAM SPOT hereby appoint:

<u>Attorney</u>	<u>Registration No.</u>
Billy A. Robbins	18,313
Robert Berliner	20,121
M. John Carson	25,090
Michael S. Elkind	28,710
John M. May	26,200
Horacio A. Farach	34,158
Sharon Wong	37,760
Pete A. Smits	39,036

all attorneys and/or registered patent agents of the law firm of Robbins, Berliner & Carson, Fifth Floor, 201 North Figueroa Street, Los Angeles, California 90012-2628, as attorneys of said corporation with full powers of substitution and revocation to prosecute this application and to transact all business in the United States Patent and Trademark Office in connection